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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: MS AMENDMENT, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: May 11, 2004 Name: Anthony P. Curtis, PhD, Reg. No. 46,193 Signature: 

BRINKS
HOFER
GILSON
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Appln. of: Shen et al.

Appln. No.: 10/777,911

Filed: February 11, 2004

For: A COLLECTOR LAYER STRUCTURE FOR
A DOUBLE HETERO-JUNCTION
BIPOLAR TRANSISTOR FOR POWER
AMPLIFICATION APPLICATIONS

Examiner: Unassigned

Art Unit: Unassigned

Attorney Docket No: 12357-3

Mail Stop Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Information Disclosure Statement (in duplicate).
- ☒ Form PTO 1449.
- ☒ Copies of three (3) cited references.
- ☒ Return Receipt Postcard

Fee calculation:

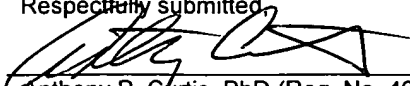
- ☒ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$_____ for a _____-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$_____ under 37 C.F.R. § 1.17(_____).
- ☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x \$43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+\$290=	
					Total	\$		Total	\$

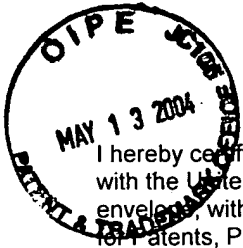
Fee payment:

- ☐ A check in the amount of \$_____ to cover the above-identified fee(s) is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$_____. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$_____ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,


Anthony P. Curtis, PhD (Reg. No. 46,193)

May 11, 2004
Date



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, with sufficient postage, addressed to: Commissioner for Patents, P.O. Box 1450/Alexandria, VA 22313-1450, on

5/11/04

Date of Deposit

Anthony P. Curtis, PhD, Reg. No. 46,193

Name of Applicant, Assignee or
Registered Representative

[Signature]

Signature

5/11/04

Date of Signature

Our Case No.: 12357/3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Shyh-Chiang Shen et al.

Serial No.: 10/777,911

Filing Date: February 11, 2004

For: A COLLECTOR LAYER
STRUCTURE FOR A DOUBLE
HETERO-JUNCTION BIPOLAR
TRANSISTOR FOR POWER
AMPLIFICATION APPLICATIONS

Examiner: To Be Assigned

Group Art Unit No.: To Be Assigned

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patent
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the document listed below and on the attached Form PTO-1449 be considered by the Examiner and

made of record. A copy of the listed document required by 37 C.F.R. § 1.98(a)(2) is enclosed for the convenience of the Examiner.

The references now cited are the following:

UNITED STATES PATENT DOCUMENT

DOCUMENT NUMBER	DATE	COUNTRY
6,680,494	1/20/2004	US
6,563,145	5/13/2003	US

No.	Date	Name
IEEE Trans. on Elec. Dev., Vol. 48, No.11, Page 2647	November 2001	"Investigation of the degradation of InGaAs/InP Double HBTs Under Reverse Base-Collector Bias Stress"
Proceedings of The IEEE, Vol. 81, No. 12, Page 1709	December 1993	"GaAs-Based Heterojunction Bipolar Transistors for Very High Performance Electronic Circuits"
IEEE Trans. on Elec. Dev., Vol. 40, No.1, Page 2	January 1993	"Breakdown-Speed Considerations in InP/InGaAs Single- and Double-Heterostructure Bipolar Transistors

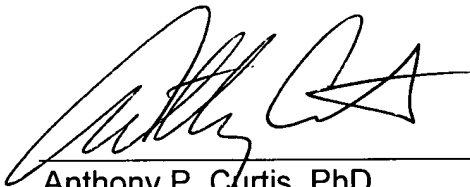
In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely

filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

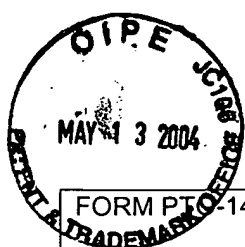
Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Anthony P. Curtis', is written over a horizontal line.

Anthony P. Curtis, PhD
Registration No. 46,193
Agent for Applicant(s)

BRINKS HOFER GILSON & LIONE
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Chicago, IL 60610
(312) 321-4200



FORM PTO-1449	SERIAL NO. 10/777,911	CASE NO. 12357-3
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE February 11, 2004	GROUP ART UNIT Unassigned
APPLICANT(S): Shen et al.		

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	6,680,494	1/2004	GUTIERREZ-AITKEN ET AL.		
	A2	6,563,145	5/2003	CHANG ET AL.		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>	
	A3	Hong Wang and Geok Ing Ng, "Investigation of the Degradation of InGaAs/InP Double HBTs Under Reverse Base-Collector Bias Stress," Vol. 48, No. 11, IEEE Transactions on Electron Devices, pp. 2647-2654, November 2001.
	A4	Hin-Fai Chau, Dimitris Pavlidis, Juntao Hu, and Kazutaka Tomizawa, "Breakdown-Speed Considerations in InP/InGaAs Single- and Double-Heterostructure Bipolar Transistors," Vol. 40, No. 1, IEEE Transactions on Electron Devices, pp. 2-8, January 1993.
	A5	Peter M. Asbeck, Frank Mau-Chung Chang, Keh-Chung Wang, Gerard J. Sullivan, and Derek T. Cheung, "GaAs-Based Heterojunction Bipolar Transistors for Very High Performance Electronic Circuits," Vol. 81, No. 12, Proceedings of the IEEE, pp. 1709-1726, December 1993.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.